

In The United States Patent and Trademark Office

In re Patent Application of:
Yi, Hyunmin *et al.*

Serial No.: **10/525,241**
**(U.S. National Stage Entrant
of PCT/US03/26356)**

Filed: **January 6, 2003**

For: **Assembly of Chitosan onto an
Electrode Surface**

Examiner: **To Be Assigned**

Group Art Unit: **To Be Assigned**

Attorney Docket No.: **2105.0015C**

Request for Reconsideration and Renewed Petition for Revival of an Application for Patent Abandoned Unintentionally (37 C.F.R. 1.137)

Request for Correction of Inventive Entity Submission of Declaration under 37 C.F.R. § 1.497(d)

ATTN: Cynthia M. Kratz, Attorney Advisor
Office of PCT Legal Administration

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants herewith request Reconsideration and Renew their Petition of September 20, 2006 for Revival of the above-identified unintentionally abandoned patent application, and respectfully request correction of the inventive entity of the application and submit a Declaration under 37 C.F.R. § 1.497(d).

No additional fee is believed to be required for consideration of this submission. In the event, however, that the Commissioner determines that an additional fee is required for such action, the Commissioner is hereby authorized to charge any fee deficiency that may be required in connection with such action to Deposit Account 05-0460.

The facts and submissions relating to this matter are as indicated below:

I. Facts

On December 14, 2006, the United States Patent & Trademark Office issued a **“Decision on Declaration,”** Dismissing Applicants’ Petition of September 20, 2006 for Revival of the above-identified Patent Application, and Correction of the Inventive Entity;

- A. The **Decision on Declaration** indicated that Applicants’ Petition had satisfied the requirements of 37 C.F.R. § 1.497(d) with respect to:
- (1) the submission of statements from the added inventors that any error in inventorship occurred without deceptive intent on his or her part;
 - (2) the fee set forth in 37 C.F.R. § 1.17(I); and
 - (3) the submission of a Written Consent of the Assignee University of Maryland biotechnology Institute, executed by an individual officer of such institution authorized to do so.
- B. The **Decision on Declaration** indicated, however, that Applicants’ Petition failed to satisfy the requirements of 37 C.F.R. § 1.497(d) with respect to:
- (1) the submission of Written Consent of the Assignees
 - (a) University of Maryland, Baltimore County and
 - (b) University of Maryland, College Parkas to the change of inventive entity. Specifically Applicants’ submission was deemed defective since insufficient evidence had been presented to establish that Mr. James Poulos (of the University of Maryland, College Park) and Mr. Stephen Auvil (of the University of Maryland, Baltimore County) had authority to sign the submitted Written Consents statements on behalf of their respective institutions;

and

- (2) the submission of acceptable Declarations of the Inventors.
Specifically, Applicants' submission was deemed to be
insufficient to establish that each named inventor was aware of
the identities of all other named inventors.

II. Submissions

Applicants respectfully Request Reconsideration of, and respectfully Renew,
their Petition in light of the submission of the following documents (as directed
by Ms. Kratz, previously submitted documents whose submissions have not
been found to be objectionable have not been resubmitted):

A. **Copy of "Decision on Declaration,"** Dismissing Applicants' Petition
of September 20, 2006 for Revival of the above-identified Patent
Application, and Correction of the Inventive Entity

B. **Written Consents of the Assignees**

- (1) Assignee: University of Maryland, Baltimore County
- (a) Copy of **Consent of the Assignee** (University of
Maryland, Baltimore County) to the change of
inventorship executed by Mr. Stephen Auvil, Director of
the Office of Technology Development for the
University of Maryland, Baltimore County.
- (b) Copy of **Memoranda** between Mr. Arthur T. Johnson,
Provost of the University of Maryland, Baltimore
County and Mr. Scott A. Bass, Dean of the Graduate
School and Vice-Provost of Research for the University
of Maryland, Baltimore County, granting authority to
Mr. Stephen Auvil to sign documents, such as the
required Consent of the Assignee document on behalf of
the University of Maryland, Baltimore County.

- (2) Assignee: University of Maryland, College Park
 - (a) Copy of **Consent of the Assignee** (University of Maryland, college Park) to the change of inventorship executed by Mr. James A Poulos, III, Director of the Office of Technology Commercialization for the University of Maryland, College Park.
 - (b) Copy of **Memorandum Letter** from Mr. William W. Destler, Vice President for Research and Dean, Graduate Studies, University of Maryland to Mr. Gregory Geoffroy, Senior Vice President for Academic Affairs and Provost for the University of Maryland, College Park, granting authority to Mr. James A Poulos, III to sign documents, such as the required Consent of the Assignee document on behalf of the University of Maryland, College Park.

C. Declarations of the Inventors

Declarations are hereby submitted from each of the named inventors. The submitted Declarations are each complete declarations, each comprising all three pages of the Declaration document, and thus evidencing that each inventor was aware of the identities of all other named inventors.

D. 2nd Supplemental Application Data Sheet

An application data sheet is provided to update the records of the United States Patent & Trademark Office with respect to the residences of the inventors.

In Re Patent Appln. of Yi, Hyumnin *et al.*
Serial No. 10/525,241
(U.S. National Stage Entrant
of PCT/US03/26356)

Request for Reconsideration of Petition for Revival of an
Application for Patent Abandoned Unintentionally
Request for Correction of Inventive Entity

III. Conclusion

Applicants respectfully submit that they have now complied with all requirements needed for Reconsideration and Renewal of their Petition for Revival of an Application for Patent Abandoned Unintentionally (37 C.F.R. 1.137) and Request for Correction of Inventive Entity, and earnestly solicit early notification of favorable action. The Commissioner is respectfully requested to contact the undersigned in the event that any further information is required in order to act on this matter.

Respectfully Submitted,

Date: **January 8, 2007**
Edell, Shapiro & Finnan, LLC
1901 Research Blvd, Suite 400
Rockville, MD 20850-3164
Telephone: (301) 424-3640
Facsimile: (301) 762-4056
Customer No. 59585

/Jeffrey I. Auerbach/
Jeffrey I. Auerbach
Reg. No. 32,680
Attorney for Assignee

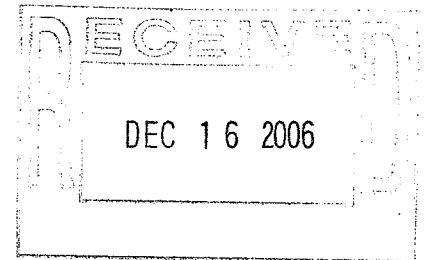


UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

14 DEC 2006

Thomas P Liniak
Liniak Berenato & White
6550 Rock Spring Drive
Suite 240
Bethesda MD 20817



In re Application of
YI et al.
Application No.: 10/525,241
PCT No.: PCT/US03/26356
Int. Filing Date: 22 August 2003
Priority Date: 23 August 2002
Attorney Docket No.: 7512.145
For: ASSEMBLY OF CHITOSAN ONTO AN
ELECTRODE SURFACE

DECISION ON
DECLARATION

This is a decision on applicants' "Petition for Revival of an Application for Patent Abandoned Unintentionally" "Request for Correction of Inventive Entity" and "Submission of Declaration under 37 CFR 1.497(d)", filed on 20 September 2006 in the United States Patent and Trademark Office (USPTO), requesting acceptance of the declaration in the above reference application.

BACKGROUND

On 17 March 2006, applicant filed a declaration in response to the 19 August 2005 Notification of Missing Requirements, identifying the international application and listed Li-Qun Wu and Mark J. Kastantin, among those listed in the published international application, as inventors. Applicant did not provide Form PCT/IB/306 adding Li-Qun Wu and Mark J. Kastantin as co-inventors.

On 19 April 2006, a Notification of Defective Response was mailed to applicant indicating that the declaration was unacceptable because (1) it was not executed in accord with 37 CFR 1.66 or 1.68 and (2) inventors Li-Qun Wu and Mark J. Kastantin were not listed on the published application.

On 16 May 2006, applicant filed a response along with a copy of the Request for Recording of A Change to add Li-Qun Wu and Mark J. Kastantin as a co-inventors under PCT Rule 92bis.

On 31 August 2006, a decision was mailed on the submission indicating that the declaration as submitted was not in compliance with 37 CFR 1.497(a) and (b) and that the application was abandoned. A Notification of Abandonment was mailed to applicant on 8 September 2006

On 20 September 2006, applicant filed a petition to revive along with "Request for Correction of Inventive Entity" and "Submission of Declaration under 37 CFR 1.497(d)".

DISCUSSION

As previously indicated, Li-Qun Wu and Mark J. Kastantin were not named as inventors in the published international application PCT/US03/26356. The declaration submitted on 16 May 2006 identifies Li-Qun Wu and Mark J. Kastantin as co-inventors and thus is not in compliance with 37 CFR 1.497(a) and (b). Since Li-Qun Wu and Mark J. Kastantin were not accepted under PCT Rule 92*bis* as co-inventors, it is improper to accept the declaration identifying them as co-inventors. Applicant now files a petition under 37 CFR 1.497(d) to add Li-Qun Wu and Mark J. Kastantin as inventors.

Petition under 37 CFR 1.497(d)

Where the oath or declaration filed pursuant to 35 U.S.C. 371(c)(4) and 37 CFR 1.497(d) names an inventive entity different from the inventive entity set forth in the international application, the oath or declaration must be accompanied by: (1) a statement from each person being added as an inventor that any error in inventorship occurred without deceptive intention on his or her part; (2) the fee set forth in § 1.17(I); and (3) if an assignment has been executed by any of the original named inventors, the written consent of the assignee(s) (See 37 CFR 3.73(b)).

Applicants satisfied Items (1) and (2) above.

With regard to Item (3), applicant provided a Written Consent of The University of Maryland Biotechnology Institute, The University of Maryland, College Park and The University of Maryland, Baltimore County (assignees) to correct the inventorship under 37 CFR 1.497(d)(3) consenting to the addition of Li-Qun Wu and Mark J. Kastantin as inventors in this application. However, this statement was signed by: Claude Nash, identified as VP-ORD for The University of Maryland Biotechnology Institute; James A. Poulos, III, Executive Director, The University of Maryland Office of Technology Commercialization; and Stephen Anvil, Director, Technology Development The University of Maryland, Baltimore County.

The submission establishing ownership by the assignee must be signed by a party who is authorized to act on behalf of the assignee. The submission is not in compliance with 37 CFR 3.73(b)(2)(I) as it is not clear from the written consent that Mr. Poulos or Mr. Anvil has such authority.

The submission may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (chief executive officer, president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. Modifications of these basic titles are acceptable, such as vice-president for sales, executive vice-president, assistant treasurer, vice-chairman of the board of directors. In foreign countries, a person who holds the title "Manager" or "Director" is normally an officer and is presumed to have the authority to sign on behalf of the organization. A person having a title (administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to have authority to sign the submission on behalf of the assignee. A power of attorney to a patent practitioner to prosecute a patent application executed by the applicant or the assignee of the entire interest does not make that practitioner an official of an assignee or empower the practitioner to sign the submission on behalf of the assignee. The submission may be signed by any person, if the submission sets forth that the person signing is authorized (or empowered) to act on behalf of the assignee, i.e., to sign the submission on behalf of the assignee. 37 CFR 3.73(b)(2)(I). The submission may be signed by a person empowered by an organizational resolution (e.g., corporate resolution, partnership resolution) to sign the

submission on behalf of the assignee, if a copy of the resolution is submitted in the record. A statement that the person having apparent authority to sign on behalf of the assignee is required. Item (3) above has not yet been satisfied.

Accordingly, applicant has not met all of the requirements to add Li-Qun Wu and Mark J. Kastantin as co-inventor in the above-identified international application.

Furthermore, even if Li-Qun Wu and Mark J. Kastantin were properly added as inventors, the declaration as submitted is not in compliance with 37 CFR 1.497(a) and (b). The declaration is comprised of three pages, containing one page 1 and three duplicate page 2 signature pages and four duplicate page 3 signature pages. Each page 2 and page 3 is executed by a different inventor. It appears to be a composite declaration created from the combination of separately executed declarations. The declaration is not properly executed. It appears that either the attorney pieced together separate complete declarations into one composite declaration or that the inventors were presented with an incomplete declaration. While it is acceptable for applicants to execute separate copies of the declaration, the entire declaration, as executed by the inventor, must be submitted. "Where individual declarations are executed, they must be submitted as individual declaration rather than combined into one declaration." See MPEP 201.03. What is required is one declaration where all inventors have signed or separate complete declarations. The requirements of 37 CFR 1.497 (a) and (b) have not been met and the declaration is unacceptable as filed.

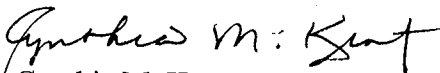
CONCLUSION

The declaration executed by Li-Qun Wu and Mark J. Kastantin as a joint inventors in the above referenced application is unacceptable and not in compliance with 37 CFR 1.497(a) and (b). A new declaration, in compliance with 37 CFR 1.497(a) and (b), and executed by the inventors as listed in the published international application, is required.

The petition to revive under 37 CFR 1.137(b) and Request for Correction of Inventive Entity in the above-captioned application are hereby **DISMISSED**. The proper reply, a declaration in compliance with 37 CFR 1.497(a) and (b), has not yet been submitted.

The application remains **ABANDONED** for failure to provide the proper reply.

Any further correspondence with respect to this matter should be addressed to the Mail Stop PCT, Commissioner for Patents, Office of PCT Legal Administration, P.O. Box 1450, Alexandria, Virginia 22313-1450, with the contents of the letter marked to the attention of the Office of PCT Legal Administration.



Cynthia M. Kratz
Attorney Advisor
PCT Legal Office

Telephone: (571)272-3286
Facsimile: (571)273-0459

Enclosure: FORM PCT/RO/132

PATENT COOPERATION TREATY

From the RECEIVING OFFICE

PCT

To:

THOMAS P. LINIAK
LINIAK BERENATO & WHITE LLC
6550 ROCK SPRING DRIVE
SUITE 240
BETHESDA, MARYLAND 20817

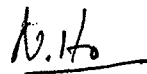
COMMUNICATION IN CASES FOR WHICH
NO OTHER FORM IS APPLICABLE

Date of mailing (day/month/year)	02 Jun 2006
Applicant's or agent's file reference 7512.145	REPLY DUE See paragraph 1 below
International application No. PCT/US03/26356	International filing date (day/month/year) 22 Aug 2003
Applicant UNIVERSITY OF MARYLAND BIOTECHNOLOGY INSTITUTE	

1. ☐ REPLY DUE within _____ months / days from the above date of mailing
- ☐ NO REPLY DUE, however, see below _____
- ☒ IMPORTANT COMMUNICATION
- ☐ INFORMATION ONLY

2. COMMUNICATION:

This is in response to applicants' "REQUEST TO CORRECT INVENTORSHIP UNDER RULE 92bis" filed 22 February 2005 and 16 May 2006 to add two more inventors, Le-Qun Wu and Mark J. Kastantin, to the present application. Applicants' request is REFUSED because under PCT Rule 92bis.1(b) "The International Bureau shall not record the requested change if the request for recording is received by it after the expiration of 30 months from the priority date." In the present case, the request was made to the RO/US one day prior to the expiration of the 30 months mentioned above, and therefore, this Office was unable to transmit such request to the International Bureau in due time for recording under PCT Rule 92bis.

Name and mailing address of the receiving Office Mail Stop PCT, Commissioner for Patents P.O. Box 1450, Alexandria, VA 22313-1450 Facsimile No. 703-305-3230	Authorized officer Ngoc-Ho Nguyen  Telephone No. 571-272-3290
---	--

Declaration for Patent Application

Docket Number: 07512.145-US

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled **ASSEMBY OF CHITOSAN ONTO AN ELECTRODE SURFACE**, the specification of which:

- ☐ is attached hereto
☒ was filed on August 22, 2003;
as PCT Application Serial No. PCT/US03/26356, and has been accorded U.S. Patent Application Serial No. 10/525,241; and
was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application, which designated at least one country other than the United States listed below, and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

Yes No

(Application No.)

(Country)

Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

60/405,582

(Application No.)

August 23, 2002

(Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or under § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

PCT/US03/26356

(Application No.)

August 22, 2003

(Filing Date)

Abandoned

(Status - patented, pending, abandoned)

(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

Send Correspondence to:

U.S. PTO Customer Number 56585
Jeffrey I. Auerbach
BERENATO, WHITE & STAVISH, LLC
6550 Rock Spring Drive, Suite 240
Bethesda, MD 20817
Facsimile (301) 896-0607

Direct Telephone Calls to: (301) 896-0600

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor: **Li-Qun WU**

Inventor's signature  _____

Date: 01/02/2007

Residence 10500 Prairie Landing Terrace
Address: N. Potomac, MD 20878
US

Post Office 10500 Prairie Landing Terrace
Address: N. Potomac, MD 20878
US

Citizenship: CN

Full name of second inventor: **Mark J. KASTANTIN**

Inventor's signature _____

Date: _____

Residence 7578 Calle Real
Address: Goleta, CA 93117
US

Post Office 7578 Calle Real
Address: Goleta, CA 93117
US

Citizenship: US

Full name of third inventor: **Hyunmin YI**

Inventor's signature _____

Date: _____

Residence 3907 Lakehouse Road, #13
Address: Beltsville, MD 20705
US

Post Office 3907 Lakehouse Road, #13
Address: Beltsville, MD 20705
US

Citizenship: KR

Full name of fourth inventor: **Gary W. RUBLOFF**

Inventor's signature _____ Date: _____

Residence	13720 Springdale Drive	Post Office	13720 Springdale Drive
Address:	Clarksville, MD 21029	Address:	Clarksville, MD 21029
	US		US

Citizenship: US

Full name of fifth inventor: **William E. BENTLEY**

Inventor's signature _____ Date: _____

Residence	9513 Thornhill Road	Post Office	9513 Thornhill Road
Address:	Clarksville, MD 21029	Address:	Clarksville, MD 21029
	US		US

Citizenship: US

Full name of sixth inventor: **Reza GHODSSI**

Inventor's signature _____ Date: _____

Residence	5805 Edson Lane, #203	Post Office	5805 Edson Lane, #203
Address:	Rockville, MD 20872	Address:	Rockville, MD 20872
	US		US

Citizenship: IR

Full name of seventh inventor: **Gregory F. PAYNE**

Inventor's signature _____ Date: _____

Residence	P.O. Box 1304	Post Office	P.O. Box 1304
Address:	Hunt Valley, MD 21030	Address:	Hunt Valley, MD 21030
	US		US

Citizenship: US

Declaration for Patent Application

Docket Number: 07512.145-US

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled **ASSEMBY OF CHITOSAN ONTO AN ELECTRODE SURFACE**, the specification of which:

- ☐ is attached hereto
☒ was filed on August 22, 2003
as PCT Application Serial No. PCT/US03/26356, and has been accorded U.S. Patent
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was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application, which designated at least one country other than the United States listed below, and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

Yes No

(Application No.)

(Country)

Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

60/405,582

August 23, 2002

(Application No.)

(Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or under § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

PCT/US03/26356

August 22, 2003

Abandoned

(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

Send Correspondence to:

U.S. PTO Customer Number 56585
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6550 Rock Spring Drive, Suite 240
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Facsimile (301) 896-0607

Direct Telephone Calls to: (301) 896-0600

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Full name of first inventor: **Li-Qun WU**

Inventor's signature _____ Date: _____

Residence	10500 Prairie Landing Terrace	Post Office	10500 Prairie Landing Terrace
Address:	N. Potomac, MD 20878	Address:	N. Potomac, MD 20878
	US		US
Citizenship:	CN		

Full name of second inventor: **Mark J. KASTANTIN**

Inventor's signature Mark J. Kastantin Date: 1/3/07

Residence	7578 Calle Real	Post Office	7578 Calle Real
Address:	Goleta, CA 93117	Address:	Goleta, CA 93117
	US		US
Citizenship:	US		

Full name of third inventor: **Hyunmin YI**

Inventor's signature _____ Date: _____

Residence	3907 Lakehouse Road, #13	Post Office	3907 Lakehouse Road, #13
Address:	Beltsville, MD 20705	Address:	Beltsville, MD 20705
	US		US
Citizenship:	KR		

Full name of fourth inventor: **Gary W. RUBLOFF**

Inventor's signature _____ Date: _____

Residence 13720 Springdale Drive
Address: Clarksville, MD 21029
US

Post Office 13720 Springdale Drive
Address: Clarksville, MD 21029
US

Citizenship: US

Full name of fifth inventor: **William E. BENTLEY**

Inventor's signature _____ Date: _____

Residence 9513 Thornhill Road
Address: Clarksville, MD 21029
US

Post Office 9513 Thornhill Road
Address: Clarksville, MD 21029
US

Citizenship: US

Full name of sixth inventor: **Reza GHODSSI**

Inventor's signature _____ Date: _____

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Address: Rockville, MD 20872
US

Post Office 5805 Edson Lane, #203
Address: Rockville, MD 20872
US

Citizenship: IR

Full name of seventh inventor: **Gregory F. PAYNE**

Inventor's signature _____ Date: _____

Residence P.O. Box 1304
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US

Post Office P.O. Box 1304
Address: Hunt Valley, MD 21030
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Citizenship: US

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was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. ? 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. ? 119(a)-(d) or ? 365(b) of any foreign application(s) for patent or inventor's certificate, or ? 365(a) of any PCT international application, which designated at least one country other than the United States listed below, and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

Yes → No

(Application No.) (Country) Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. ? 119(e) of any United States provisional application(s) listed below.

60/405,582 August 23, 2002
(Application No.) (Filing Date)

I hereby claim the benefit under 35 U.S.C. ? 120 of any United States application(s), or under ? 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. ? 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. ? 1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

PCT/US03/26356 August 22, 2003 Abandoned
(Application No.) (Filing Date) (Status - patented, pending, abandoned)

(Application No.) (Filing Date) (Status - patented, pending, abandoned)

(Application No.) (Filing Date) (Status - patented, pending, abandoned)

Send Correspondence to: **U.S. PTO Customer Number 56585**
Jeffrey I. Auerbach
BERENATO, WHITE & STAVISH, LLC
6550 Rock Spring Drive, Suite 240
Bethesda, MD 20817
Facsimile (301) 896-0607
Direct Telephone Calls to: (301) 896-0600

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Full name of first inventor: **Li-Qun WU**

Inventor's signature _____ Date: _____

Residence 10500 Prairie Landing Terrace **Post Office** 10500 Prairie Landing Terrace
Address: N. Potomac, MD 20878 **Address:** N. Potomac, MD 20878
US US

Citizenship: CN

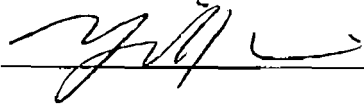
Full name of second inventor: **Mark J. KASTANTIN**

Inventor's signature _____ Date: _____

Residence 7578 Calle Real **Post Office** 7578 Calle Real
Address: Goleta, CA 93117 **Address:** Goleta, CA 93117
US US

Citizenship: US

Full name of third inventor: **Hyunmin YI**

Inventor's signature  Date: 01/03/07

Residence 3907 Lakehouse Road, #13 **Post Office** 3907 Lakehouse Road, #13
Address: Beltsville, MD 20705 **Address:** Beltsville, MD 20705
US US

Citizenship: KR

Full name of fourth inventor: **Gary W. RUBLOFF**

Inventor's signature _____

Date: _____

Residence 13720 Springdale Drive
Address: Clarksville, MD 21029
US

Post Office 13720 Springdale Drive
Address: Clarksville, MD 21029
US

Citizenship: US

Full name of fifth inventor: **William E. BENTLEY**

Inventor's signature _____

Date: _____

Residence 9513 Thornhill Road
Address: Clarksville, MD 21029
US

Post Office 9513 Thornhill Road
Address: Clarksville, MD 21029
US

Citizenship: US

Full name of sixth inventor: **Reza GHODSSI**

Inventor's signature _____

Date: _____

Residence 5805 Edson Lane, #203
Address: Rockville, MD 20872
US

Post Office 5805 Edson Lane, #203
Address: Rockville, MD 20872
US

Citizenship: IR

Full name of seventh inventor: **Gregory F. PAYNE**

Inventor's signature _____

Date: _____

Residence P.O. Box 1304
Address: Hunt Valley, MD 21030
US

Post Office P.O. Box 1304
Address: Hunt Valley, MD 21030
US

Citizenship: US

Declaration for Patent Application

Docket Number: 07512.145-US

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled **ASSEMBY OF CHITOSAN ONTO AN ELECTRODE SURFACE**, the specification of which:

- ☐ is attached hereto
☒ was filed on August 22, 2003;
 as PCT Application Serial No. PCT/US03/26356, and has been accorded U.S. Patent Application Serial No. 10/525,241; and
 was amended on _____ (if applicable).

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Prior Foreign Application(s)

Priority Claimed

Yes No_____
(Application No.)_____
(Country)_____
Day/Month/Year Filed)

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60/405,582
 (Application No.)

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PCT/US03/26356
 (Application No.)

August 22, 2003
 (Filing Date)

Abandoned
 (Status - patented, pending, abandoned)

(Application No.)_____
(Filing Date)_____
(Status - patented, pending, abandoned)_____
(Application No.)_____
(Filing Date)_____
(Status - patented, pending, abandoned)

Declaration of Inventors
U.S. Patent Application Serial No. 10/525,241

Send Correspondence to:

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Citizenship:	US		

Full name of third inventor: **Hyunmin YI**

Inventor's signature _____ Date: _____

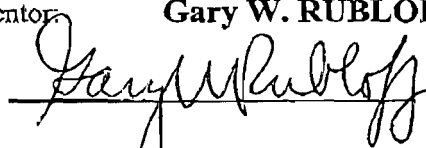
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	US		US
Citizenship:	KR		

Declaration of Inventors
U.S. Patent Application Serial No. 10/525,241

Full name of fourth inventor:

Gary W. RUBLOFF

Inventor's signature



Date:

1/3/07

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Address: Clarksville, MD 21029
US

Post Office 13720 Springdale Drive
Address: Clarksville, MD 21029
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Citizenship: US

Full name of fifth inventor:

William E. BENTLEY

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Citizenship: US

Full name of sixth inventor:

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Priority Claimed

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<u>PCT/US03/26356</u> (Application No.)	<u>August 22, 2003</u> (Filing Date)	<u>Abandoned</u> (Status - patented, pending, abandoned)
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Citizenship: US

Full name of third inventor: Hyunmin YI

Inventor's signature _____ **Date:** _____

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Address:	Lexington, MA 02420	Address:	Lexington, MA 02420
	US		US

Citizenship: KR

Full name of fourth inventor: **Gary W. RUBLOFF**

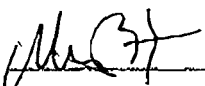
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US

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Address: Clarksville, MD 21029
US

Citizenship: US

Full name of fifth inventor: **William E. BENTLEY**

Inventor's signature  _____ Date: 1/7/09

Residence 909 White Marlin Way
Address: Annapolis, MD 21401
US

Post Office 909 White Marlin Way
Address: Annapolis, MD 21401
US

Citizenship: US

Full name of sixth inventor: **Reza GHODSSI**

Inventor's signature _____ Date: _____

Residence 2511 Harmon Road
Address: Silver Spring, MD 20902
US

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Address: Silver Spring, MD 20902
US

Citizenship: IR

Full name of seventh inventor: **Gregory F. PAYNE**

Inventor's signature _____ Date: _____

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Docket Number: 07512.145-US

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Prior Foreign Application(s)

Priority Claimed

Yes ☐ No

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PCT/US03/26356 **August 22, 2003** **Abandoned**
 (Application No.) (Filing Date) (Status - patented, pending, abandoned)

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Full name of fourth inventor: **Gary W. RUBLOFF**

Inventor's signature _____ Date: _____

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Full name of fifth inventor: **William E. BENTLEY**

Inventor's signature _____

Date: _____

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PCT/US03/26356August 22, 2003Abandoned

(Application No.)

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(Status - patented, pending, abandoned)

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U.S. Patent Application Serial No. 10/525,241

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U.S. Patent Application Serial No. 10/525,241

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Inventor's signature _____

Date: _____

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Inventor's signature  _____

Date: January 3, 2007

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Address: Hunt Valley, MD 21030
US

Citizenship: US

In The United States Patent and Trademark Office

In re Patent Application of:
Yi, Hyunmin *et al.*

Serial No.: **10/525,241**
**(U.S. National Stage Entrant of
PCT/US03/26356)**

Filed: **January 6, 2003**

For: **Assembly of Chitosan onto an
Electrode Surface**

Examiner: **To Be Assigned**

Group Art Unit: **To Be Assigned**

Attorney Docket No.: **2105.0015C**

Consent of the Assignees to Correction of Inventive Entity

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Rights in the above-described patent application are assigned to The University of Maryland, College Park, The University of Maryland Biotechnology Institute, and The University of Maryland, Baltimore County by virtue of assignments of the inventors:

- (A) Assignment of all, right, title and interest of inventors **Li-Qun Wu** and **Hyunmin Yi** to **The University of Maryland Biotechnology Institute**, having a place of business at Columbus Center, 701 East Pratt Street, Suite 200, Baltimore, MD 21202, recorded with the United States Patent & Trademark Office on September 14, 2006 at reel **018249**, frame **0710**;
- (B) Assignment of all, right, title and interest of inventors **Mark J. Kastantin**, **Gary W. Rubloff** and **Reza Ghodssi** to **The University of Maryland, College Park**, having a place of business at Office of Technology Commercialization, University of Maryland, 6200 Baltimore Avenue, Suite 300, Riverdale, MD 20737, recorded with the

United States Patent & Trademark Office on September 14, 2006 at
reel **018249**, frame **0894**;

- (C) Assignment of all, right, title and interest of inventor **William E. Bentley** to (a) **The University of Maryland, College Park**, having a place of business at Office of Technology Commercialization, University of Maryland, 6200 Baltimore Avenue, Suite 300, Riverdale, MD 20737 and to (b) **The University of Maryland Biotechnology Institute**, having a place of business at Columbus Center, 701 East Pratt Street, Suite 200, Baltimore, Maryland 21202, recorded with the United States Patent & Trademark Office on September 14, 2006 at reel **018249**, frame **0664**;
- (D) Assignment of all, right, title and interest of inventor **Gregory F. Payne** to (a) **The University of Maryland Biotechnology Institute**, having a place of business at Columbus Center, 701 East Pratt Street, Suite 200, Baltimore, Maryland 21202 and to (b) **The University of Maryland, Baltimore County**, having a place of business at Office of Technology Development, 1000 Hilltop Circle, Baltimore, MD 21250, recorded with the United States Patent & Trademark Office on September 14, 2006 at reel **018249**, frame **0046**;

Each of said Assignees having right, title and interest in the above-described patent application hereby declares that it consents to the correction of the inventive entity of the application to additionally name **Li-Qun Wu** and **Mark J. Kastantin** as inventors, such that the corrected inventorship of the application will be: (1) Li-Qun Wu, (2) Mark J. Kastantin, (3) Hyunmin Yi, (4) Gary W. Rubloff, (5) William E. Bentley, (6) Reza Ghodssi, and (7) Gregory F. Payne.

In Re Patent Appln. of Yi, Hyumnin *et al.*
Serial No. 10/525,241
(U.S. National Stage Entrant
of PCT/US03/26356)

Consent of the Assignees
To the Correction of Inventive Entity

Respectfully submitted,

The University of Maryland Biotechnology Institute

Columbus Center, 701 East Pratt Street, Suite 200, Baltimore, Maryland 21202

By: _____ Date: _____

Typed Name: _____

Title: _____

The University of Maryland, College Park

Office of Technology Commercialization, University of Maryland, 6200 Baltimore
Avenue, Suite 300, Riverdale, MD 20737

By: _____ Date: _____

Typed Name: _____

Title: _____

The University of Maryland, Baltimore County

Office of Technology Development, 1000 Hilltop Circle, Baltimore, MD 21250

By: Stephen Auvil Date: 1/2/07

Typed Name: Stephen Auvil

Title: Director, Office of Technology Development

UMBC

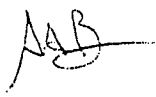
AN HONORS UNIVERSITY IN MARYLAND

The Graduate School
Office of the Dean and
Vice Provost for Research
University of Maryland, Baltimore County
1000 Hilltop Circle
Baltimore, Maryland 21250

PHONE: 410-455-2199
FAX: 410-455-1092
VOICE/TTY: 410-455-3233
www.umbc.edu

June 5, 2001

To: Art Johnson, Provost

From: Scott A. Bass, Dean of the Graduate School
and Vice Provost for Research 

Re: Sign-Off Authorities

I would like to formally request the following sign-off authority which reflects preferred practice:

On out-going university grants and contracts sign-off authority would be delegated from Dr. Scott A. Bass, Vice Provost for Research to Dr. Elaine Young, Assistant Vice Provost for Research, and the staff of the Office of Sponsored Activities, Mr. Alex Nathan and Mr. David Servary.

Sign-off authority for license agreements, stockholder/corporate agreements related to licensing start-ups or equity, interinstitutional agreements involving UMBC and non-USM institutions, and option agreements that involve options for consideration shall rest with Dr. Scott A. Bass, Vice Provost for Research. On such matters, Dr. Bass has requested legal review prior to signing for the institution. Material transfer agreements, non-disclosure/confidentiality agreements, collaborative agreements, intellectual property assignments (as required for certain research funding), assignment agreements, memoranda of understanding, agreements associated with managing patent counsel, and documents required by the Patent & Trademark/Copyright Offices shall be delegated from Dr. Scott A. Bass to his direct report, the Director of the Office of Technology Development, Mr. Stephen Auvil.

Please discuss these matters with the Office of Legal Counsel and upon their review and your approval. I would appreciate written authorization for these business practices.

Thank you.

Office of the Provost

University of Maryland, Baltimore County
1000 Hilltop Circle
Baltimore, Maryland 21250

PHONE: 410-455-2333

FAX: 410-455-1107

VOICE/TTY: 410-455-3233

WEB: www.umbc.edu/

*✓ Elaine
Stephen*

Memorandum

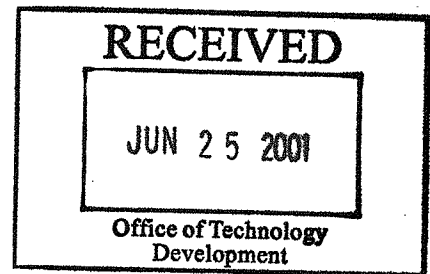
DATE: June 16 2001

TO: Scott A. Bass, Dean of the Graduate School
And Vice Provost for Research

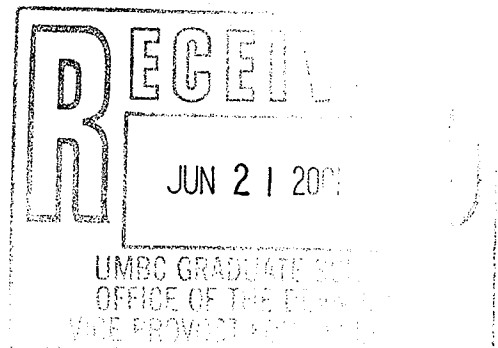
FROM: Arthur T. Johnson
Provost *ATJ*

RE: Sign-Off Authorities

I have reviewed your memorandum of June 5, 2001 requesting sign-off authority for various documents associated with the research endeavors of UMBC. I authorize you and your staff to sign the respective documents as outlined in this correspondence.



cc: Shirley L. Bigley, Esquire
David Gleason, Esquire



In The United States Patent and Trademark Office

In re Patent Application of:
Yi, Hyunmin *et al.*

Serial No.: **10/525,241**
**(U.S. National Stage Entrant of
PCT/US03/26356)**

Filed: **January 6, 2003**

For: **Assembly of Chitosan onto an
Electrode Surface**

Examiner: **To Be Assigned**

Group Art Unit: **To Be Assigned**

Attorney Docket No.: **2105.0015C**

Consent of the Assignees to Correction of Inventive Entity

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Rights in the above-described patent application are assigned to The University of Maryland, College Park, The University of Maryland Biotechnology Institute, and The University of Maryland, Baltimore County by virtue of assignments of the inventors:

- (A) Assignment of all, right, title and interest of inventors **Li-Qun Wu** and **Hyunmin Yi** to **The University of Maryland Biotechnology Institute**, having a place of business at Columbus Center, 701 East Pratt Street, Suite 200, Baltimore, MD 21202, recorded with the United States Patent & Trademark Office on September 14, 2006 at reel **018249**, frame **0710**;
- (B) Assignment of all, right, title and interest of inventors **Mark J. Kastantin**, **Gary W. Rubloff** and **Reza Ghodssi** to **The University of Maryland, College Park**, having a place of business at Office of Technology Commercialization, University of Maryland, 6200 Baltimore Avenue, Suite 300, Riverdale, MD 20737, recorded with the

United States Patent & Trademark Office on September 14, 2006 at
reel **018249**, frame **0894**;

- (C) Assignment of all, right, title and interest of inventor **William E. Bentley** to (a) **The University of Maryland, College Park**, having a place of business at Office of Technology Commercialization, University of Maryland, 6200 Baltimore Avenue, Suite 300, Riverdale, MD 20737 and to (b) **The University of Maryland Biotechnology Institute**, having a place of business at Columbus Center, 701 East Pratt Street, Suite 200, Baltimore, Maryland 21202, recorded with the United States Patent & Trademark Office on September 14, 2006 at reel **018249**, frame **0664**;
- (D) Assignment of all, right, title and interest of inventor **Gregory F. Payne** to (a) **The University of Maryland Biotechnology Institute**, having a place of business at Columbus Center, 701 East Pratt Street, Suite 200, Baltimore, Maryland 21202 and to (b) **The University of Maryland, Baltimore County**, having a place of business at Office of Technology Development, 1000 Hilltop Circle, Baltimore, MD 21250, recorded with the United States Patent & Trademark Office on September 14, 2006 at reel **018249**, frame **0046**;

Each of said Assignees having right, title and interest in the above-described patent application hereby declares that it consents to the correction of the inventive entity of the application to additionally name **Li-Qun Wu** and **Mark J. Kastantin** as inventors, such that the corrected inventorship of the application will be: (1) Li-Qun Wu, (2) Mark J. Kastantin, (3) Hyunmin Yi, (4) Gary W. Rubloff, (5) William E. Bentley, (6) Reza Ghodssi, and (7) Gregory F. Payne.

In Re Patent Appln. of Yi, Hyunmin *et al.*
Serial No. 10/525,241
(U.S. National Stage Entrant
of PCT/US03/26356)

Consent of the Assignees
To the Correction of Inventive Entity

Respectfully submitted,

The University of Maryland Biotechnology Institute

Columbus Center, 701 East Pratt Street, Suite 200, Baltimore, Maryland 21202

By: _____ Date: _____

Typed Name: _____

Title: _____

The University of Maryland, College Park

Office of Technology Commercialization, University of Maryland, 6200 Baltimore
Avenue, Suite 300, Riverdale, MD 20737

By: James A. Poulos, III Date: Jan 3, 2007

Typed Name: James A. Poulos, III

Title: Executive Director

The University of Maryland, Baltimore County

Office of Technology Development, 1000 Hilltop Circle, Baltimore, MD 21250

By: _____ Date: _____

Typed Name: _____

Title: _____



UNIVERSITY OF MARYLAND

OFFICE OF THE VICE PRESIDENT FOR RESEARCH
AND DEAN OF THE GRADUATE SCHOOL

2133 Lee Building
College Park, Maryland 20742-5121
301.405.4175 TEL 301.405.8386 FAX

December 20, 2000

Gregory Geoffroy
Senior Vice President for
Academic Affairs and Provost
1119 Main Administration
CAMPUS

Dear Dr. Geoffroy:

I am writing to inform you that I am granting signature authority to Mr. James A. Poulos, III, Executive Director of the Office of Technology Commercialization.

In response to our request, and subject to the conditions set forth below, I authorize James A. Poulos, III, as Executive Director of the Office of Technology Commercialization, to have signature authority for the following documents:

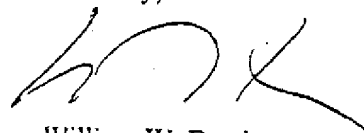
1. Invention reports required by the Federal Government;
2. Confidential Disclosure Agreements with industry and government agencies;
3. Memorandum of Understanding agreements for sample transfer, collaborative and technology development projects;
4. Option, License and Technology Transfer agreements;
5. Signing general and specific power of attorney documents to effect the foreign filing of any patent applications for the University, including, but not limited to applications filed under the Patent Cooperation Treaty.

With respect to items 2,3, and 4, Mr. Poulos' authority shall extend to the basic "form" documents approved by the Office of the Attorney General. If the "form" agreements are significantly modified as a result of contract negotiations, Mr. Poulos should seek legal counsel's approval before contract execution. Similarly, if any particular agreement involves some

FILE NO: 3014058386 12/19/00 10:40 12-GRAD 3 400011 D FAX: 3014058386 PAGE 3

arrangement unusual for this campus, Mr. Poulos should discuss the agreement with Legal Affairs prior to execution.

Sincerely,



William W. Destler
Vice President for Research and
Dean, Graduate Studies